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ABSTRACT

This paper describes a process for determining professional development needs of principals as a basis for designing inservice programs. The study took place in Independent School District 196, one of the largest districts in Minnesota. A questionnaire and the Nominal Group Technique (NGT), a structured group meeting that follows a prescribed sequence of problem-solving steps, were used in determining inservice needs of principals. A questionnaire was developed that has 60 statements of principals' competency equally divided among 12 administrative areas of competency. The questionnaire requires respondents to make two responses to each item--principals' present level of behavior, and the importance attached to each level of competency for principals in the district. The survey was sent to 300 teachers, 14 principals, and each of six central office staff who had agreed to participate in the study. All of the principals and central office staff completed the questionnaire. The response rate for teachers was 59 percent. After analysis of the data, the NGT technique will be used to identify the most important needs for inservice education. The appendices contain copies of the forms used in the study. (MLF)

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A PROCESS TO DETERMINE PROFESSIONAL DEVELOPMENT
NEEDS OF PRINCIPALS IN A SCHOOL DISTRICT

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1. Introduction

Rosemount School District is a rapidly growing school district on the outskirts of Minneapolis, Minnesota. It is increasing at the rate of 1,000 students annually. The District contains 10 elementary schools, 2 middle schools and 2 senior high schools, with a new middle school planned to open in the Fall of 1980. In 1970 student enrollment was 5,878 in grades K-12; in 1978 it was 11,482. The District is very interested in the professional development of principals in its schools.

Professor Al Seagren of the University of Nebraska-Lincoln and Professor Adrian Geering of Adelaide College of the Arts and Education, South Australia (currently a Ph.D. candidate at UNL) are working jointly on conducting the needs assessment and planning the inservice program for principals in the District. This paper will be a report of the strategy used to conduct the needs assessment and a description of the anticipated outcomes.

2. Context of The Study

This section of the paper describes the background for the study, the relationship of the school district to other professional organizations, and the planning process.

2.1 Background for The Study

Independent School District 196 is one of the largest school districts in the State of Minnesota. It covers 110 square miles and crosses the boundaries of seven municipalities and two townships.

The district, comprising 18 percent of the total area of Dakota County, encompasses the entire cities of Apple Valley and Rosemount, and extends into portions of Egan, Burnsville, Lakeville, Coates, Vermillion, Empire and Inver Grove Heights.

Dakota County is one of the seven counties that ring the cities of Minneapolis and St. Paul. During 1970-1977, 35 percent of the total growth in Dakota County was in Independent School District 196.¹ In 1970, there were 5,878 students in grades K-12; in 1978 there were 11,486². The District is currently averaging an 8 percent growth in student population each year. At the present time there are ten elementary schools, two middle schools, and two senior high school in the District. A new middle school is scheduled to be opened in Fall, 1980.

In summary, Independent School District 196 is a rapidly growing district which is increasing at a rate of one thousand new students a year. A vigorous building program at all levels will need to be continued into the late 1980's with an increased number of faculty and an increased budget.

2.2 Relationship to other professional organizations

There are a number of professional organizations which exist to aid the professional development of school principals. These include a number of national and state organizations such as: the University of Minnesota; various state and private colleges in Minnesota; the Minnesota Elementary School Principals Association;

1. Independent School District No. 196, School Survey, April 1978 p 1.

2. Ibid.

the Minnesota Secondary School Principal's Association; the National Association of Elementary School Principals; and the National Association of Secondary School Principals. The institutions of higher education listed above offer formal courses leading to professional degrees in educational administration and are a valuable source of professional development for principals in Independent School District 196. The various organizations at both state and national level offer valuable opportunities for personal and professional development through such things as conventions, workshops and seminars. The principals are given support by the District to attend conventions and meetings as a valuable professional development activity. However, the District is committed to developing a thoughtful program of staff development that will equip principals to meet the challenge of the future.³ As every school district has its own unique environment, clientele, staff, and resources, only an inservice program based upon the needs of the situation will help achieve the long-range goals that have been formulated. So, even though these other institutions and organizations have a valuable role in the professional development of principals in this School District, it would be no substitute for a carefully devised plan of inservice based on an extensive assessment of the needs of the people involved.

2.3 The Planning Process

In any specific school district, impetus for professional development for administrators comes from a number of sources including: The Board of Education; the Superintendent of Schools; and the Administrators themselves. In Independent School District 196, the impetus came initially from the Board of Education in May 1978, in an instruction to the superintendent, to see that a management development program was started for all management staff that would enable them to become more effective in the performance of their responsibilities. In turn, the superintendent established this as a high priority for the district in 1978-1979 school year. This commitment was also reflected in various parts of the Long Range Planning Report published in December, 1978.

3. Long-Range Planning Report, Independent School District 196, December, 1978.

From August 1979 to May 1979 a number of meetings were held by the staff development task force to ascertain staff development needs and to plan training activities. Administrators also participated in some of these meetings to give input and direction to the staff development task force. As a result of the limited needs assessment conducted by the task force, a list of leadership skills needed by administrators and supervisors in Independent School District 196 was developed--see Appendix A for details.

In September 1979, Seagren was invited by the district to conduct a workshop to train administrators in facilitating and leading groups. As a result of the success of this workshop, he was invited to present a proposal for developing a comprehensive management training program for principals. Six stages for the project were proposed:

- 1) The assessment of the need for management training as perceived by the principals.
- 2) Specification of the major outcomes or objectives to be achieved by mid management in Independent School District 196.
- 3) An assessment of current levels of performance of mid management.
- 4) Validation of performance assessment by external individuals.
- 5) Development of training programs to meet those needs that result from the initial assessment of differences between current level of performance and expected outcomes.
- 6) An evaluation of the total process.

The district accepted the proposal and a large part of the work was completed by May, 1980.

3. Purpose of the Study

There were three purposes for this study: (1) to design and apply a process in Independent School District 196 so that a team approach would be developed among principals; (2) to collect data from central office staff, principals and teachers in Independent School District 196 related to their perceptions about the desired and actual roles of principals in that district; and (3) to identify areas of needed professional development for principals in that school district.

There were a number of constraints which influenced the planning of professional development for principals in this district. First there was the constraint of finance--the resources that could be applied and the program activities that

could be designed were limited to the budget available. Second, there was the problem of time. Principals, by virtue of their position, have limited time. Consequently, the activities will need to be designed to fit into their busy schedules and be acceptable to them. Third, there was the problem of the role of the principal within Independent School District 196. The present Superintendent was appointed in 1978 and is trying to change the way existing principals see their role. Most of the principals within the District were appointed at the crisis time--new buildings had to be planned and built; new schools had to be opened; and new staff had to be inducted. The previous Superintendent was hired to oversee this development and appointed principals who were appropriate for those conditions of growth and for his style of management. The present incumbent is very committed to the notion of a decentralized style of administration. He wants each principal to be a team member yet also an educational leader who can effectively and efficiently manage educational resources in the school. So this role conflict will be a potential constraint in the implementation of this program. Fourth, there is the problem of trying to change individuals' behavior. The more popular educational changes have been patterned after "linear" or sequential models and have emphasized structural changes in school. However, unless change is internalized little has been changed in the process--and this will be a very real problem when principals undergo the prescribed inservice program for this District. A fifth problem is related to the principals' attitude toward inservice training. Inservice education assumes a deficiency in the principal and presupposes a set of appropriate skills, ideas, and methods which need developing--and this may be a cause of resistance in some principals. Lastly, unless adequate follow-up support is given in school settings, the extent of lasting changes may be limited.

The rationale for the study is based upon the school district's desire to help principals become as effective as they possibly can because apart from the teaching staff in any school the principalship is the most important factor which will influence the quality of education received by each child in that school. The position of principal in any school system is pivotal to the success of that system because it is a powerful central role in the

school system.⁴ The school unit is the place where resources are applied, where innovations occur, and the principal regulates these things. Hence, the success or failure of any school system will be dependent on the way the principal at the school level executes his role. With a limited budget, Independent School District 196 has decided to concentrate its inservice energies on this role. As Mitchell stated in the conclusion of a national study conducted for the Ford Foundation:

Many reformers have placed the blame for the deadening effects of the education bureaucracy on the teachers. But teachers do not run the schools. The principals are both the de facto and de jure managers of the entire enterprise. The system of public education is such a large operation that it is extremely difficult to fasten on a point of entry to attain improvement. But standing as he does at the school-house door, the principal is easily identifiable as the key determiner of climate.⁵

In Independent School District 196, there was a real need to develop an open climate of cooperation and a team approach. Principals were more competitive rather than being cooperative; there was a degree of anxiety about the role of the district office; some principals did not view their role as being primarily one of leadership but focused on maintaining the status quo; principals did not openly share problems because they thought others might think that they were incompetent; some principals did not want to raise issues because they felt threatened by staff from the district office; and some principals did not perceive that they had problems within their schools. The superintendent denied that principals would still retain a degree of autonomy in operating their schools within the parameters set by the district yet at the same time develop a team environment so that they would willingly and openly discuss their problems and the desired outcomes. This closed climate was a major factor in determining the way that professional development needs of principals were assessed in the district, and this is discussed in the next section.

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4. This assertion is well supported in the literature. G. Bernbaum, "The Role of the Head," The Role of the Head, ed. R. S. Peters (London: Routledge and Kegan Paul, 1976), p. 34; G. Baron, "The Role of the Head" Headship in the 1970's, ed. B. L. Allen (London: Blackwell, 1968), p. 6; R. F. Campbell, et. al., Introduction to Educational Administration (5th ed.; Boston: Allyn and Bacon, 1977), p. 244.
 5. D. P. Mitchell, Leadership in Public Education Study: A Look at the Overlooked (Washington: Academy for Educational Development, Inc., 1973), p. 13.

4. Methodology

A number of methods of determining inservice needs of principals could have been used in Independent School District 196 including: the nominal group technique, the structured interview, an assessment center, and survey by questionnaire. After careful consideration of the advantages and disadvantages of each approach it was decided to use only the nominal group technique and the questionnaire approach for a number of reasons. First, the cost would be too great to design and implement a three-day assessment center with groups of principals. Second, too much time would be required to undertake such a venture. Third, the same sorts of information could be obtained using the questionnaire approach. Fourth, it would be time-consuming to train assessors. Fifth, a structured interview would have to be designed and validated before it could be used in the District--the time line for the study would not allow this approach to be used. Sixth, the nominal group technique would help develop an open climate within the group. It was very important for this process to take place prior to teaching content to the group. A consideration of the nominal group technique and needs assessment survey follows.

4.1 Nominal Group Technique:

The Nominal Group Technique (NGT) is a structured group meeting which follows a prescribed sequence of problem solving steps. The procedure may be summarized as follows:

1. Silent generation of ideas in writing.
2. Presentation and recording of ideas.
3. Verbal presentation and clarification of each item.
4. Consolidation of overlapping items.
5. Individual voting on each item.

The voting methodology varies according to the style of outcome desired, in this situation rank order was used. See Appendix B for full details. Seagren conducted the problem solving process in the School District using the NGT and looked at the following questions.

1. What are the major problems or issues the building principal is facing in Independent School District 196? (September 18, 1979)
2. What are the factors; conditions, or situations that contributed to your rating this item high in terms of a problem? (January 3, 1980)

3. What kinds of outcomes would be helpful in reducing or eliminating the problem? In reducing or eliminating the factors contributing to the problem? (Outcomes generated through brainstorming session on January 3, 1980)
4. What activities or delivery systems would be useful in achieving the outcomes?
5. What areas of skills do you, as an administrator, need to develop to handle this problem or facilitate the achievement of the desired outcome?
6. In analyzing your role, what conflicts do you perceive at the building, District or community levels?
7. What measures or indicators should be used in assessing the activities in terms of achieving the desired outcomes?

On March 13 and 14, 1980, Seagren conducted a validation exercise on "The Problems and Issues Facing the Building Principal in Independent School District 196". Brainstorming was used in conjunction with NGT and is a group problem solving process which is based on the generation of an extensive range of ideas by suspending criticism and comments until a subsequent evaluation session. (See Appendix B for details)

In identifying competence or skill two general approaches might be used. The first might be to deductively decide which areas of competence are needed for the principalship as determined by experts from the best known educational practice extant. The second approach is to design and test a method that promised to provide an empirical data base from which educational programs could be planned and this approach was used in this study.

4.2 Development of the Survey Instrument

An instrument was developed by Geering to provide data for Seagren's problem solving process step 5. A copy of the principal's questionnaire used in the survey is to be found in Appendix C. Similar questionnaires were designed for central office staff and teachers but with different introductory wording and different background information sheets.

The questionnaire was formed from an existing instrument and from research undertaken on assessment centers by the National Association of Secondary School Principals (NASSP).

Section B has been developed from research undertaken by NASSP.⁶

After extensive analysis of job descriptions, performance appraisal instruments for administrative positions throughout the country, and lengthy interviews with principals, twelve dimensions of behavior to be assessed were inferred. These behavior dimensions have been listed in Section B.

Respondents have to make two responses to each item--the real and the ideal. The first rating, entitled "present level of behavior" asks the principal to indicate present performance in terms of each behavior. The second rating entitled "importance of this behavior" asks the principal to indicate the importance attached to each behavior for principals in this school district. A comparison between the "real" and the "ideal" situations will yield information pertaining to the needs of the principal. The responses are in the form of a summative Likert scale ranging from (1) very low to (5) very high.

Section C consists of seventy two competency statements, categorized into twelve areas of competence. The statements were drawn from previous research funded by the Charles F. Kittering Foundation and directed by Dr. E. T. Demars at the University of Utah. An earlier form of this research yielded four hundred statements pertaining to the primary role of the principal. These statements were culled to avoid repetition. Under the direction of Dr. Demars, two doctoral dissertations, which were completed by Cook and Van Otten in 1972, used the refined list of statements to identify the prime competencies essential to the principalship by polling a national sample of secondary school principals.⁷ Of the forty-three statements within the study, thirty-nine showed significant variance. In twenty-nine of the statements significance was found at the 5 percent level.⁸ The list used in the studies by Cook and Van Otten was composed of forty-three statements which were categorized, using a Q-sort technique under twelve administrative task areas developed by Dr. L. McLeary in 1969.

Because of subsequent use, and suggestions by Cook and Van Otten, seventeen new statements were added to the instrument so that each area of competence was balanced with the same number of statements. The instrument was then composed of sixty statements of competence equally divided among the twelve administrative areas which correspond to the areas of competence. This list

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6. T. A. Jeswald, "A New Approach to Identifying Administrative Talent," NASSP Bulletin, 61:410 (September, 1977), 80-82.
 7. H. Cook, and K. Van Otten, "A Study of the Prime Competencies Required to Perform the Tasks of the Secondary School Principalship," Dissertation Abstracts International, 33A:6002, 1973.
 8. Ibid

of statements was used by Gaston Pol and Larrie Gale in 1973 to test the Quadrant Assessment Model which was designed to identify areas and components of competence for the high school principalship in rural Bolivia.⁹

After completing the first seven stages of validation described below, it became apparent that the items listed on the instrument may be overlooking situation--specific competencies.¹⁰ So an item bank was generated from a number of other instruments and also included the items from the instrument previously considered for the project. Subsequently, a group of principals from the School District was asked to validate the items for the questionnaire.

In the final form of the questionnaire, respondents have to make two responses to each item--the real and the ideal. The first rating, entitled "present level of competence" asks the principal to indicate the importance attached to each competency for principals in this school district. A comparison between the "real" and the "ideal" situations will yield information pertaining to the professional development needs of the principal. The responses are in the form of a summative Likert scale ranging from (1) very low to (5) very high.

Kerlinger observed that "the commonest definition of validity is epitomized by the question: 'Are we measuring what we think we are measuring?'"¹² With respect to questionnaire items related to competencies, this question

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9. L. E. Gale, "Competence Required for the Principalship: A Methodology Applied to the Rural Bolivian Setting," University of Utah, 1973.
 10. This issue was raised in personal discussion with Professor L. McLeary, University of Utah and Dr. Ruth Randall, Assistant Superintendent, District 196.
 11. N. Schmitt, Job Responsibilities of a Principal, Michigan State University, 1979; Minnesota Elementary School Principal's Association, Position Description for the Elementary School Principal, 1977; Project R.O.M.E., Principal Performance Description Survey, 1977; K. McIntyre, Competencies of the Principal, 1974; University of Nebraska, Performance Statements for the Role of the Building Administrator.
 12. F. N. Kerlinger, Foundations of Behavioral Research (2nd ed.; New York: Holt, Rinehart, and Winston, 1973), p. 457.

may be rephrased in the following terms:

1. Are the competencies identified in the questionnaire complete in terms of those which might be relevant to principals in Independent School District 196?
2. Will persons receiving the questionnaires be able and willing to respond to the questions which are posed?
3. Are the language and format appropriate?

The questionnaire passed through the stages of development as indicated:

- Stage 1. Literature review conducted to develop instrument.
- Stage 2. The pro-forma questionnaire was discussed with faculty at the University for overall suitability, wording, relevance to the study. The letter, instructions, and background information sheet were prepared.
- Stage 3. The pro-forma questionnaire was given to graduate students involved in research and development and method and they were asked to comment with respect to clarity, sense, and general construction of the questionnaire.
- Stage 4. The questionnaire was revised as a result of their comments.
- Stage 5. The pro-forma questionnaire was forwarded to a panel of experts.
- Stage 6. The questionnaire was again revised and checked for clarity and wording.
- Stage 7. The revised questionnaire was sent to Independent School District 196 to a number of staff to get their critical reactions. They were asked to consider in particular the three questions related to validity set out above and change items as necessary.
- Stage 8. Because of the feedback and suggestions received, an item bank was constructed. The item bank contained 13 areas of responsibility, one more than the original questionnaire, as a number of instruments examined included an additional category entitled "Personal and Professional Growth," not included in the initial form of the questionnaire.
- Stage 9. The item bank was personally presented to a group of principals in the School District and they were asked to answer the following

questions:

1. Are the 13 areas of competence relevant to your role as a principal in this district?
2. Are there any areas of competence that should be deleted or any additional ones that should be added?
3. Are the items under each area of competence relevant to your role as a principal in this district?
(Answer yes/no)
4. Please would you label the items which you have responded yes to as either being of high importance, medium importance, or low importance to your role as a principal in this district.
5. Please would you rank order the items that you have identified as being of high importance to your role as a principal in this district.

Stage 10. The results were checked and analyzed with respect to all areas of competence and items and Section C of the questionnaire was finalized. Area 13 on professional growth was excluded as it was thought teachers would be unable to response to this area. The final version was sent to the School District for checking and approval.

Stage 11. The final questionnaire was printed for use in the study after the necessary approvals from the Department of Educational Administration and the University.

4.3 Conduct of the Survey

On April 4, 1980, an introductory letter, a letter of approval from the Superintendent, and a questionnaire were sent to each sample member included in the study--300 teachers and 14 principals. In addition, seven copies of the questionnaire were sent to each of six central office staff who had agreed to participate in the study.

On April 18, 1980, a follow-up letter was sent out to non-respondents. On April 26, 1980, as the projected acceptable minimum number had not been reached, a second mailing of the questionnaire and an appropriate letter were sent out.

On May 1, 1980, each school principal was personally contacted by telephone and asked to arrange for a note to be placed in non-respondents' mail boxes reminding them to return the questionnaire.

All of the principals and central office staff completed the questionnaire. The response rate for teachers was 59.3%. At this stage, data from the needs assessment survey are still being analyzed.

4.4 Proposed Method of Use

Once an analysis of the needs assessment survey data has been completed, it will be possible to design three types of inservice programs.

1. A general inservice program for all principals in the district, an analysis of data.
2. A general inservice program for all principals by each level, elementary and secondary.
3. Individual inservice programs for each principal which take into account the peculiarities and needs of each school.

Sork indicated that there were two levels of need--prescriptive and motivational. A prescriptive need is defined as a deficiency relative to a socially accepted standard, norm or end state. Whereas a motivational need is defined as a specific individually defined goal or end state.¹³ One of the problems is to turn a prescribed need into a motivational need.

In Independent School District 196 the results of the needs assessment will be presented to the staff development task force, to each individual principal and to the group of principals as a whole. After careful analysis and discussion the NGT technique will be used to identify from the data the most important needs for inservice education. Hopefully, through this involvement principals will have some sense of ownership of the needs identified and become motivated to participate in the program. In addition, this approach will also be used to determine what forms of inservice education are most acceptable to the group within the budget limitations; e.g., five-day residential course, three-day residential course, and one-day regular inservice activities over a specified term. This approach will incorporate principles for adult learning enumerated by Gibb that: learning must be problem centered; learning must be experience centered; experience must be meaningful to the learner; the learner must be free to look at the experience; the goals must be set and the search organized

13. T. Sork, Lecture 4, ACE 821, University of Nebraska-Lincoln, Spring, 1980.

by the learner; and the learner must have feedback about progress toward goals.¹⁴

The needs that have been identified as a result of using NGT fall into three areas.

1. School-community relations.
2. Leadership.
3. Role of principal as a middle manager.¹⁵

The results from the survey will be available to the School District in September, 1980 so that planning for professional development activities for principals may begin.

5. Conclusion

The paper has described a process of determining professional development needs of principals, as a basis for designing inservice programs. One of the most important features of this approach has been to directly involve the principals concerned in the process of determining needs. This in itself was an important professional development activity and was a necessary prerequisite step in developing a team climate prior to professional development activities being undertaken.

14. J. Gibb, Handbook of Adult Education, 1960.

15. Letter from Chairman to committee on staff development, March 12, 1980.

Appendix "A"

List of Leadership Skills Needed by Administrators
and
Supervisors in Independent School District 196

IN INDEPENDENT SCHOOL DISTRICT 196

- I. Communication - Two-Way
 - A. Listening
 - B. Responding
 - C. Building attitudes in a non-collaborative, non-defensive mode
- II. Interpersonal Relations
 - A. Establishing positive relationships with:
 - 1. student
 - 2. teachers
 - 3. support staff
 - 4. parents
 - 5. community
 - B. Developing and maintaining morale among staff members
- III. Public Relations
 - A. Information getting and giving to and from internal publics
 - B. Information getting and giving to and from external publics
- IV. Time Management
 - A. Directing energies - concentrate on positives, eliminate negatives
 - B. Serving as model to others - eliminate "hurried, harried, never done, I'm always behind" stance
- V. Resource Management
 - A. Using one's own skills and energies in effective and efficient manner.
 - B. Coordinating and directing work of others so assets of other person are utilized most effectively and efficiently for the organization and themselves.
- VI. Conflict Management
 - A. Coping with conflict
 - B. Resolving conflict
- VII. Facilitation
 - A. Facilitating and leading a group, large or small
 - B. Interacting in a group, large or small

VIII. Decision Making

- A. Recognizing problems
- B. Solving problems

IX. Record Keeping

- A. Gathering objective data
- B. Documenting of actions
- C. Using of data to help others

X. Purpose, Aim, Mission

- A. Determining "What is Education?"
- B. Recognizing purpose and aid of educational program in Independent School District 196
- C. Developing a mission statement for self, school, area of responsibility, organization

XI. Management Process

- A. Assessing needs
- B. Setting goals
- C. Prioritizing goals
- D. Strategizing to attain goals
- E. Implementing strategies
- F. Evaluating - input, context, process, product

XII. Instructional Program

- A. Focusing on teaching/learning act
- B. Determining "What is teaching?"
- C. Determining "What is learning?"
- D. Recognizing structure in learning
- E. Recognizing substance in learning

XIII. Program Review

- A. Determining "What is education?"
- B. Reviewing total educational program
- C. Evaluation of all facets of the program

XIV. Personal Assessment

- A. Recognizing and using one's assets for self and others
- B. Knowing and valuing own uniqueness; valuing uniqueness of others

- C. Recognizing need for skills
- D. Planning to program to further develop personal and professional skills
- E. Determining ways to enhance own self-concept
- F. Building and using support system of family, friends and other persons

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Appendix "B"

Nominal Group Technique

THE NOMINAL GROUP TECHNIQUE

NGT is a structured group meeting which follows a prescribed sequence of problem solving steps. The procedure may be summarized as follows:

1. Silent generation of ideas in writing.
2. Round robin presentation of ideas. Each idea is a single concise phrase. Each idea is recorded on a blackboard or flip chart.
3. Verbal presentation and clarification of each item.
4. Consolidation of overlapping items.
5. Individual voting on each item. The voting methodology varies according to the style of outcome desired (e.g., yes/no, rank order).

The Specific Steps

- Step 1: The problem is stated as clearly and definitively as possible.
- Step 2: Silent generation of ideas in writing. Each group member writes down his/her solutions - as many as wished. Each member is required to contribute. Contributions are not anonymous.
- Step 3: Round robin recording of ideas. In turn each group member selects one idea from his written list for recording on the blackboard or flip chart. Each idea must be individually and concisely reported. (Several rounds may be necessary to exhaust participant's lists.)
- Step 4: Idea presentation and clarification. Each member may (a) speak to his solutions, and (b) ask for clarification of solutions proposed by others. The speaker must not deviate from the point, and questions must be based in such a manner that they do not comment, but are explicit in seeking clarification.
- Step 5: Idea consolidation. Solutions may be consolidated by agreement between the members concerned. They alone participate. There is no interaction. If consensus agreement is not reached, the idea remain as proposed.
- Step 6: Further clarification. A second opportunity for group members to seek clarification is given. The procedure is as for Step 4.

Step 7: Voting. The method is contingent on the type of outcomes sought. The two common methods are yes - no and rank order. (Sometimes a preliminary vote is taken in which group members are requested to select the five most important items. Only those items receiving preliminary votes are considered in the final vote.)

BRAINSTORMING

- I. Is a group problem solving process which is based on the generation of an extensive range of ideas by suspending criticism and comments until a subsequent evaluation session?
- II. The process requires small groups of 6-9 persons.

Phase One

1. The problem is explicitly shared.
2. The ground rules are:
 - a) No criticism is permitted during the brainstorming phase.
 - b) No comments are permitted during the brainstorming phase.
 - c) Any idea should be voiced no matter what its apparent relevance might be as it may trigger useful ideas from other group members.
 - d) Quantity is desired.

Phase Two

1. The groups undertake a second session (if necessary) which is aimed at formulating potential alternate solutions based on the ideas developed in the first session. This session is again conducted without criticism or discussion. Each participant seeks to consolidate and utilize as many of the first session ideas as possible. A greatly shortened list of further developed alternate solutions results.

Phase Three

1. Each group selects its best ideas based on a set of considerations prescribed by the problem.

A variety of selection methods may be utilized:

1. Multiple factors - Fit with the problem, capability, and/or cost.
 2. Yes/No
 3. Consensus
 4. Ranking
 5. Rating scale
2. The group assigns a spokesman to each proposal that has met the above test criteria at a level determined by the group.

Phase Four

1. The groups combine.
2. One idea is taken and listed on a blackboard or other display media in turn from each group.
3. Spokesmen speak to their assigned items in turn. Other participants may comment on question.
4. The total group selects a number of the most important items (approximately 20%) from the consolidated list. These items are then rank ordered.

Phase Five

The wording of proposals and solution determined in this manner is often open to improvement. A small committee should be appointed to improve the presentation, acting under the instruction that no changes of meaning or intent are permissible.

Appendix "C"

Principal's Questionnaire

INSTRUCTIONS

1. You are invited to respond to the following items pertinent to your attitudes and perceptions about your competencies and behavior as a principal.
2. Your responses will be kept confidential. The information will be processed and analyzed by the developer of the instrument. No identification of individuals will be made so please be honest and candid in your responses.
3. Please respond to EVERY item by giving two ratings.
4. PURSUANT TO FEDERAL GUIDELINES, THE FOLLOWING MATERIAL IS PROVIDED FOR THE INFORMED CONSENT AND PROTECTION OF HUMAN SUBJECTS.

Your filling out of this questionnaire must be, according to the policies of this College, on a purely voluntary basis. Your completing this questionnaire will indicate that you have consented to participate in this study. Failure to participate in this study will not be held against you in any way.

The following measures have been taken to protect the confidentiality of responses provided in this questionnaire:

- 4.1 Questionnaires will be either collected personally or mailed directly to Adrian Geering in the stamped, addressed envelope provided.
- 4.2 Data from the questionnaires will be fed into a computer and the questionnaires destroyed.
- 4.3 Information from your completed questionnaire will be pooled and reported statistically. The identity of individuals within the district will not be revealed.

Would you please complete the background information in Section A before beginning the instrument.

Please note that there are three sections to be completed - A, B, and C, and that items are to be found on both sides of the paper.

SECTION A
BACKGROUND INFORMATION

Name of school _____

Number of staff employed
(full time equivalent) _____

Number of students enrolled
in your school on 3-30-1980 _____

Grade levels in school _____

Age of school (years) _____

Please circle the number of the response most appropriate
to your situation for each of the following:

Office use only							
0	1						2
1	2	3	4	5	6	7	8

1. Years as an educator (include the present year as a full year).

1. 0-2 2. 3-5 3. 6-10
4. 11-20 5. over 20

9

2. Years as a principal.

1. 0-2 2. 3-5 3. 6-10
4. 11-20 5. over 20

10

3. Years as a principal in this school district.

1. 0-2 2. 3-5 3. 6-10
4. 11-20 5. over 20

11

4. Years as a principal in this school.

1. 0-2 2. 3-5 3. 6-10
4. 11-20 5. over 20

12

5. Highest level of education obtained.

1. Master's degree
2. Sixth year certificate
3. Specialist degree
4. Doctorate

13

6. Are you currently pursuing a professional degree program?

1. yes 2. no

14

7. Sex.

1. Male 2. Female

15

8. Age category (in years).

1. 21-30 2. 31-40 3. 41-50
4. 51-65

16

BEHAVIOR OF PRINCIPALS

Directions

Below are listed a number of behaviors which have been identified and validated by the National Association of Secondary School Principals as being important to the job of the principal. These have been expressed as dimensions of behavior.

Please give two ratings for each dimension. The first rating, entitled PRESENT LEVEL OF BEHAVIOR, asks you to rate your performance as principal as you perceive your performance to be in terms of each dimension of behavior.

The second rating, entitled IMPORTANCE OF THIS BEHAVIOR, asks you to rate the importance of each of these dimensions as you perceive them to be for a principal in this district. You should differentiate among items; that is, your ratings may vary from 1 (very low) to 5 (very high). Please CIRCLE the number which corresponds to your assessment.

Please CIRCLE your response.

BEHAVIOR	PRESENT LEVEL OF BEHAVIOR					IMPORTANCE OF BEHAVIOR					OFFICE USE ONLY
	Very Low	Low	Moderate	High	Very High	Very Low	Low	Moderate	High	Very High	
1. <u>Problem Analysis.</u> Ability to seek out relevant data and analyze complex information to determine the important elements of a problem situation; searching for information with a purpose.	1	2	3	4	5	1	2	3	4	5	17-18
2. <u>Judgment.</u> Skill in identifying educational needs and setting priorities; ability to reach logical conclusions and make high-quality decisions based on available information; ability to critically evaluate written communications.	1	2	3	4	5	1	2	3	4	5	19-20
3. <u>Organizational Ability.</u> Ability to plan, schedule, and control the work of others; skill in using resources in an optimal fashion; ability to deal with a volume of paper work and heavy demands on one's time.	1	2	3	4	5	1	2	3	4	5	21-22
4. <u>Decisiveness.</u> Ability to recognize when a decision is required and to act quickly. (Without an assessment of the quality of the decision.)	1	2	3	4	5	1	2	3	4	5	23-24
5. <u>Leadership.</u> Ability to recognize when a group requires direction, to get others involved in solving problems, to effectively interact with a group, to guide them to the accomplishment of a task.	1	2	3	4	5	1	2	3	4	5	25-26
6. <u>Sensitivity.</u> Ability to perceive the needs, concerns, and personal problems of others; tact in dealing with persons from different backgrounds; skill in resolving conflicts, ability to deal effectively with people concerning emotional issues; knowing what information to communicate and to whom.	1	2	3	4	5	1	2	3	4	5	27-28
7. <u>Range of Interests.</u> Competence to discuss a variety of subjects (educational, political, economic, etc.); desire to actively participate in events.	1	2	3	4	5	1	2	3	4	5	29-30
8. <u>Personal Motivation.</u> Showing that work is important to personal satisfaction; a need to achieve in all activities attempted; ability to be self-policing.	1	2	3	4	5	1	2	3	4	5	31-32
9. <u>Educational Values.</u> Possession of well-reasoned educational philosophy; receptiveness to change and new ideas.	1	2	3	4	5	1	2	3	4	5	33-34
10. <u>Stress Tolerance.</u> Ability to perform under pressure and opposition; ability to think on one's feet.	1	2	3	4	5	1	2	3	4	5	35-36
11. <u>Oral Communication Skill.</u> Ability to make a clear oral presentation of ideas and facts.	1	2	3	4	5	1	2	3	4	5	37-38
12. <u>Written Communication Skill.</u> Ability to express ideas clearly in writing; to write appropriately for different audiences--students, teachers, parents, other administrators.	1	2	3	4	5	1	2	3	4	5	39-40

PLEASE SEE OVER

SECTION C
COMPETENCIES OF PRINCIPALS

Directions

The list of competency statements below, for the position of Principal was developed and validated by a group of administrators in your district.*

Please give two ratings for each statement. The first rating, entitled PRESENT LEVEL OF COMPETENCE, asks you to rate your performance as you perceive your performance to be in terms of each competency. A rating of 5 means that you feel that you are performing at the highest level of effectiveness, a rating of 1 means that you feel that you are performing at the lowest level of effectiveness.

The second rating, entitled IMPORTANCE OF THIS COMPETENCY, asks you to rate the importance of each of these competency statements, as you perceive them to be, for a principal in this school district. You should differentiate among items; that is, some items may be ranked "1", some "2", some "3", some "4", and some "5".

A scale from 1 (very low) to 5 (very high) is provided for each rating. Please CIRCLE the number which corresponds to your assessment.

*It is assumed that the principal may work with others on staff to discharge these responsibilities.

Please CIRCLE your response	PRESENT LEVEL OF COMPETENCE					IMPORTANCE OF THIS COMPETENCY					OFFICE USE ONLY
	Very Low	Low	Moderate	High	Very High	Very Low	Low	Moderate	High	Very High	
COMPETENCY AREA 1: WORKING RELATIONS WITH THE DISTRICT OFFICE											
1. Works with district office in planning district-wide goals and objectives.	1	2	3	4	5	1	2	3	4	5	19-20
2. Identifies building goals and objectives which are consistent with district goals and objectives.	1	2	3	4	5	1	2	3	4	5	21-22
3. Organizes school staff in order to implement district goals and objectives.	1	2	3	4	5	1	2	3	4	5	23-24
4. Interprets district policies to the instructional and classified staff.	1	2	3	4	5	1	2	3	4	5	25-26
5. Consults with district staff about educational and organizational problems.	1	2	3	4	5	1	2	3	4	5	27-28
6. Reports matters concerning school development to the district office.	1	2	3	4	5	1	2	3	4	5	29-30
COMPETENCY AREA 2: FINANCIAL MANAGEMENT											
7. Provides objective rationale for establishing school budget.	1	2	3	4	5	1	2	3	4	5	31-32
8. Involves staff members in arranging budget requests in priority order according to the school's goals and objectives.	1	2	3	4	5	1	2	3	4	5	33-34
9. Administers the school budget in accordance with district policies and legal requirements.	1	2	3	4	5	1	2	3	4	5	35-36
10. Allocates money for the educational programs of the school.	1	2	3	4	5	1	2	3	4	5	37-38
11. Supervises the purchase of instructional materials utilizing budget guidelines.	1	2	3	4	5	1	2	3	4	5	39-40
12. Monitors expenditure of funds in various accounts.	1	2	3	4	5	1	2	3	4	5	41-42

COMPETENCY AREA 3: SCHOOL - COMMUNITY RELATIONS	PRESENT LEVEL OF COMPETENCE					IMPORTANCE OF THIS COMPETENCY					OFFICE USE ONLY
	Very Low	Low	Moderate	High	Very High	Very Low	Low	Moderate	High	Very High	
13. Demonstrates openness in dealing with community groups.	1	2	3	4	5	1	2	3	4	5	43-44
14. Organizes and maintains effective two-way communication with the community.	1	2	3	4	5	1	2	3	4	5	45-46
15. Reports school achievements and school problems to the community.	1	2	3	4	5	1	2	3	4	5	47-48
16. Seeks to know parents and to interpret the school's program to them.	1	2	3	4	5	1	2	3	4	5	49-50
17. Develops procedures to resolve school-community conflicts.	1	2	3	4	5	1	2	3	4	5	51-52
18. Plans with staff and establishes public relations programs with the community.	1	2	3	4	5	1	2	3	4	5	53-54

COMPETENCY AREA 4: STUDENT COUNSELING AND GUIDANCE											
19. Is an advocate of the students and communicates with them regarding aspects of their school life.	1	2	3	4	5	1	2	3	4	5	55-56
20. Facilitates the guidance and counselling of students.	1	2	3	4	5	1	2	3	4	5	57-58
21. Ensures that an adequate testing program for diagnostic and educational purposes is maintained.	1	2	3	4	5	1	2	3	4	5	59-60
22. Plans staff-parent conferences for feedback on the professional evaluation of students.	1	2	3	4	5	1	2	3	4	5	61-62
23. Involves staff in identifying and rewarding worthwhile accomplishments of students.	1	2	3	4	5	1	2	3	4	5	63-64
24. Identifies alternative educational plans for students consistently failing in the regular school program.	1	2	3	4	5	1	2	3	4	5	65-66

COMPETENCY AREA 5: STUDENT ACTIVITIES											
25. Reviews student activities and their relationship to school and district objectives.	1	2	3	4	5	1	2	3	4	5	67-68
26. Ensures that co-curricular school activities are scheduled efficiently.	1	2	3	4	5	1	2	3	4	5	69-70
27. Determines and maintains standards for participation in student activities.	1	2	3	4	5	1	2	3	4	5	71-72
28. Encourages staff participation in student activities.	1	2	3	4	5	1	2	3	4	5	73-74
29. Supports the school activities program by active participation and attendance.	1	2	3	4	5	1	2	3	4	5	75-76
30. Ensures that the school activities program is evaluated regularly.	1	2	3	4	5	1	2	3	4	5	77-78

PLEASE SEE OVER

COMPETENCY AREA 6: STUDENT CONTROL	PRESENT LEVEL OF COMPETENCE					IMPORTANCE OF THIS COMPETENCY					OFFICE USE ONLY
	Very Low	Low	Moderate	High	Very High	Very Low	Low	Moderate	High	Very High	
31. Identifies and communicates legal rights and responsibilities to parents and students.	1	2	3	4	5	1	2	3	4	5	79-80
32. Informs parents and students about legal changes in the school operation.	1	2	3	4	5	1	2	3	4	5	8-9
33. Develops with staff procedures to account for student attendance.	1	2	3	4	5	1	2	3	4	5	10-11
34. Develops with staff procedures to maintain effective discipline in the school.	1	2	3	4	5	1	2	3	4	5	12-13
35. Assigns students to appropriate spaces and time units for instruction.	1	2	3	4	5	1	2	3	4	5	14-15
36. Takes effective action on discipline matters requiring his/her intervention.	1	2	3	4	5	1	2	3	4	5	16-17

COMPETENCY AREA 7: SCHOOL PLANT											
37. Plans the school's educational program in accordance with the available facilities and equipment.	1	2	3	4	5	1	2	3	4	5	18-19
38. Regularly inspects school plant and grounds personally.	1	2	3	4	5	1	2	3	4	5	20-21
39. Regularly checks the quality of plant maintenance and work performance of maintenance staff.	1	2	3	4	5	1	2	3	4	5	22-23
40. Establishes procedures and techniques for adequate plant security.	1	2	3	4	5	1	2	3	4	5	24-25
41. Evaluates the changing needs for facilities and equipment to accomplish school goals and objectives.	1	2	3	4	5	1	2	3	4	5	26-27
42. Makes recommendations to the district office for the improvement of school plant facilities.	1	2	3	4	5	1	2	3	4	5	28-29

COMPETENCY AREA 8: AUXILIARY SERVICES											
43. Organizes and coordinates noninstructional services to ensure the accomplishment of instructional goals.	1	2	3	4	5	1	2	3	4	5	30-31
44. Defines, with appropriate staff, the objectives and standards for an effective library/media center.	1	2	3	4	5	1	2	3	4	5	32-33
45. Develops guidelines with the teaching and nursing staff for the health and treatment of injuries and illness of students.	1	2	3	4	5	1	2	3	4	5	34-35
46. Coordinates transportation services making possible regular attendance for students.	1	2	3	4	5	1	2	3	4	5	36-37
47. Coordinates food services to facilitate students and class schedules.	1	2	3	4	5	1	2	3	4	5	38-39
48. Cares for the safety of students by attempting to eliminate potential hazards at school.	1	2	3	4	5	1	2	3	4	5	40-41

COMPETENCY AREA 9: PERSONNEL ADMINISTRATION	PRESENT LEVEL OF COMPETENCE					IMPORTANCE OF THIS COMPETENCY					OFFICE USE ONLY
	Very Low	Low	Moderate	High	Very High	Very Low	Low	Moderate	High	Very High	
49. Determines job descriptions for each position in the school.	1	2	3	4	5	1	2	3	4	5	42-43
50. Follows established district and school procedures for the selection of new staff members.	1	2	3	4	5	1	2	3	4	5	44-45
51. Uses district criteria to make recommendations about tenure or dismissal of staff members.	1	2	3	4	5	1	2	3	4	5	46-47
52. Assigns or reassigns staff to achieve both school goals and goals of individual staff members.	1	2	3	4	5	1	2	3	4	5	48-49
53. Involves staff in decision-making concerning school policies.	1	2	3	4	5	1	2	3	4	5	50-51
54. Uses various methods to evaluate staff performance.	1	2	3	4	5	1	2	3	4	5	52-53

COMPETENCY AREA 10: PERSONNEL IMPROVEMENT: personal and professional development											
55. Identifies with staff goals and activities for personal and professional development.	1	2	3	4	5	1	2	3	4	5	54-55
56. Encourages professional growth of staff members to meet new and changing needs of the job.	1	2	3	4	5	1	2	3	4	5	56-57
57. Gathers information about teaching practices by using differing methods of assessment.	1	2	3	4	5	1	2	3	4	5	58-59
58. Works with teachers in designing classroom environments conducive to learning.	1	2	3	4	5	1	2	3	4	5	60-61
59. Demonstrates concern and openness in the consideration of teachers' problems.	1	2	3	4	5	1	2	3	4	5	62-63
60. Develops and maintains the concept of human worth for teachers.	1	2	3	4	5	1	2	3	4	5	64-65

COMPETENCY AREA 11: MANAGEMENT OF CURRICULA AND INSTRUCTION											
61. Involves staff in planning the instructional and curricular programs.	1	2	3	4	5	1	2	3	4	5	66-67
62. Ensures that a class schedule is constructed which maximizes the efficient use of staff and facilities.	1	2	3	4	5	1	2	3	4	5	68-69
63. Works with staff in evaluating the instructional climate in the classrooms.	1	2	3	4	5	1	2	3	4	5	70-71
64. Provides for staff involvement in designing new curricula.	1	2	3	4	5	1	2	3	4	5	72-73
65. Involves staff in determining needs for human and other resources to accomplish curricular objectives.	1	2	3	4	5	1	2	3	4	5	74-75
66. Involves staff in determining the standards and procedures for evaluating progress toward curricular and instructional objectives.	1	2	3	4	5	1	2	3	4	5	76-77

PLEASE SEE OVER

		PRESENT LEVEL OF COMPETENCE					IMPORTANCE OF THIS COMPETENCY					OFFICE USE ONLY
		Very Low	Low	Moderate	High	Very High	Very Low	Low	Moderate	High	Very High	
COMPETENCY AREA 12: RESEARCH AND DEVELOPMENT TECHNIQUES-- INVESTIGATION AND TESTING OF NEW TECHNIQUES, INNOVATIONS AND CHANGE												
67.	Develops long-range educational plans by involving appropriate groups.	1	2	3	4	5	1	2	3	4	5	78-79
68.	Utilizes research evidence in planning the school program.	1	2	3	4	5	1	2	3	4	5	80-8
69.	Is skilled in research procedures and techniques.	1	2	3	4	5	1	2	3	4	5	9-10
70.	Identifies and encourages experimental and creative approaches by staff.	1	2	3	4	5	1	2	3	4	5	11-12
71.	Encourages and supports teachers undertaking research projects in the school.	1	2	3	4	5	1	2	3	4	5	13-14
72.	Provides leadership in assessing proposals for new programs.	1	2	3	4	5	1	2	3	4	5	15-16

DO YOU HAVE ANY OTHER COMMENTS ABOUT COMPETENCIES RELATED TO THE POSITION OF PRINCIPAL?

THANK YOU for completing this questionnaire. Please return in the enclosed stamped addressed envelope to:
Mr. A. D. Geering, Dept. of Educational Administration, University of Nebraska, Lincoln, Nebraska 68588.